



CA Department of Corporations **Investment Adviser Education Seminar** Wednesday, November 28, 2007

The California Department of Corporations invites you to a free Investment Adviser Education Seminar for Alameda, Contra Costa, and San Francisco Counties.

Date: **Wednesday, November 28, 2007**
Time: **1:00 pm to 5:00 pm**
(Registration begins at 12:30 pm)
Location: **Elihu Harris State Building Auditorium**
1515 Clay St.
Oakland, CA 94612

The Seminar will provide detailed information to help you prepare your annual financial report and annual updating amendment.

Other topics to be covered include:

- Form ADV, Form U4, Form U5, and Registration Requirements
- Books & Records and Retention Requirements
- ADV and Annual Reporting Requirements
- Overview of the Examination Process
- Administrative Actions and Penalties
- Proposed CA regulatory changes including Custody, Advertising, Cash Solicitation, Unethical Practices, Conflicts of Interest, and Books & Records.

SEATS ARE LIMITED, so please **RSVP by Wednesday, November 14, 2007** via e-mail to **RAE@corp.ca.gov** or via telephone to Marc Valle at (415) 972-8585.

Please include the following information in your RSVP:

- Firm Name
- Name of Attendee(s)
- IARD No.
- E-mail Address

Confirmations will be sent via e-mail and will include directions to the seminar location.